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PTO/SB/05 (11-00)
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UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>	Attorney Docket No.	KAP 101 DIV
	First Inventor	Aaron V. Kaplan
	Title	METHODS AND APPARATUS FOR PERICARDIAL ACCESS
	Express Mail Label No.	EL 845500604 US

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small>	ADDRESS TO: <small>Assistant Commissioner for Patents Box Patent Application Washington, D.C. 20231</small>
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original, and a duplicate for fee processing)</small>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>
3. <input checked="" type="checkbox"/> Specification <small>[Total Pages 13]</small> <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none">- Descriptive title of the invention- Cross Reference to Related Applications- Statement Regarding Fed sponsored R & D- Reference to sequence listing, a table, or a computer program listing appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure	a. <input type="checkbox"/> Computer Readable Form (CRF)
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <small>[Total 4]</small>	b. Specification Sequence Listing on: <ul style="list-style-type: none">i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); orii. <input type="checkbox"/> paper
5. Oath or Declaration <small>[Total Pages 1]</small> <ul style="list-style-type: none">a. <input type="checkbox"/> Newly executed (original or copy)b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 18 completed)</small><ul style="list-style-type: none">i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small>	c. <input type="checkbox"/> Statements verifying identity of above copies
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	

ACCOMPANYING APPLICATION PARTS	
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small>	
11. <input type="checkbox"/> English Translation Document (if applicable)	
12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations	
13. <input checked="" type="checkbox"/> Preliminary Amendment	
14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small>	
15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small>	
16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.	
17. <input checked="" type="checkbox"/> Other: Verified Statement of Small Entity, Copy of Assignment	

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/397,392

Prior application information: Examiner M. Mendez Group / Art Unit 3735

For CONTINUING OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS					
<input type="checkbox"/> Customer Number or Bar Code Label			or <input checked="" type="checkbox"/> Correspondence address below		
<small>(Insert Customer No. or Attach bar code label here)</small>					
Name	Cook, Alex, McFarron, Manzo, Cummings & Mehler				
Address	200 West Adams Street Suite 2850				
City	Chicago	State	IL	Zip Code	60606
Country	USA	Telephone	312-236-8500	Fax	312-236-8170

Name (Print/Type)	Gary W. McFarron	Registration No. (Attorney/Agent)	27,357
Signature		Date	11/01/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	
Filing Date	
First Named Inventor	Aaron V. Kaplan
Examiner Name	
Group Art Unit	
Attorney Docket No.	KAP 101 DIV

TOTAL AMOUNT OF PAYMENT \$370.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 50-1039

Deposit Account Name: Cook, Alex, McFarron et al.

☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR § 1.27

2. ☐ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	201	740 370	Utility filing fee	370.00	
106	206	330 165	Design filing fee		
107	207	510 255	Plant filing fee		
108	208	740 370	Reissue filing fee		
114	214	160 80	Provisional filing fee		
SUBTOTAL (1)					\$370.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
6	-20** = 0	X	0.00
Independent Claims	2 - 3** = 0	X	0.00
Multiple Dependent			

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description
103	203	18 9	Claims in excess of 20	
102	202	84 42	Independent claims in excess of 3	
104	204	280 140	Multiple dependent claim, if not paid	
109	209	84 42	** Reissue independent claims over original patent	
110	210	18 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) \$0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	205	130 65	Surcharge - late filing fee or oath		
127	227	50 25	Surcharge - late provisional filing fee or cover sheet		
139	139	130 130	Non - English specification		
147	2,520	147 2,520	For filing a request for ex parte reexamination		
112	920*	112 920*	Requesting publication of SIR prior to Examiner action		
113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action		
115	110	215 55	Extension for reply within first month		
116	400	216 200	Extension for reply within second month		
117	920	217 460	Extension for reply within third month		
118	1,440	218 720	Extension for reply within fourth month		
128	1,960	228 980	Extension for reply within fifth month		
119	320	219 160	Notice of Appeal		
120	320	220 160	Filing a brief in support of an appeal		
121	280	221 140	Request for oral hearing		
138	1,510	138 1,510	Petition to institute a public use proceeding		
140	110	240 55	Petition to revive - unavoidable		
141	1,280	241 640	Petition to revive - unintentional		
142	1,280	242 640	Utility issue fee (or reissue)		
143	460	243 230	Design issue fee		
144	620	244 310	Plant issue fee		
122	130	122 130	Petitions to the Commissioner		
123	50	123 50	Processing fee under 37 CFR § 1.17(q)		
126	180	126 180	Submission of Information Disclosure Statement		
581	40	581 40	Recording each patent assignment per property (times number of properties)		
146	740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))		
149	740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))		
179	740	279 370	Request for Continued Examination (RCE)		
169	900	169 900	Request for expedited examination of a design application		

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

SUBMITTED BY

Name (Print/Type) Gary W. McFarron

Signature Gary W. McFarron

Registration No. (Attorney/Agent)

27,357

Complete (if applicable)

Telephone

312-236-8500

Date

11/01/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization.

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Applicant(s): Kaplan et al.

Docket No.

KAP 101 DIV

Serial No.

Filing Date

Examiner

Group Art Unit

Invention: **Methods and Apparatus for Pericardial Access**

I hereby certify that the following correspondence:

Divisional Patent Application

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

November 1, 2001

(Date)

Kathrina M. Cotner

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

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